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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/736,001	12/15/2003	John D. Richter	14012-053001/50-03-034	2963

26230 7590 12/01/2006

FISH & RICHARDSON P.C.
P.O. BOX 1022
MINNEAPOLIS, MN 55440-1022

EXAMINER	
COLAN, GIOVANNA B	

ART UNIT	PAPER NUMBER
2162	

DATE MAILED: 12/01/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	10/736,001	RICHTER, JOHN D.	
	Examiner	Art Unit	
	Giovanna Colan	2162	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *06 September 2006*.

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-23* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-23* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

DETAILED ACTION

1. This action is issued in response to the Amendment filed on 09/06/2006.

2. Claims 1, 10, and 18 were amended. No claims were canceled. No claims were added.

3. This action is made Final.

4. Claims 1 – 23 are pending in this application.

5. Applicant's arguments filed on 09/06/2006 have been fully considered but they are not persuasive.

Claim Rejections - 35 USC § 102

6. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

7. Claims 1 – 23 are rejected under 35 U.S.C. 102(b) as being an anticipated by Win et al. (Win hereinafter) (US Patent No. 6,182,142 B1, issued: January 30, 2001).

Regarding Claims 1, and 10, Win discloses an article comprising a machine-readable medium storing instructions operable to cause one or more machines to perform operations comprising:

analyzing database access statements issued for an application in use (Col.2, lines 28 – 33, Win[1]);

determining accessed items and types of access for the application based on the issued database access statements for the application (Col.2, lines 31 – 34, Win[2]); and

developing a role associated with the application based on the determined accessed items and types of access (Col.2, lines 35 – 47, Win[3]), wherein the role allows a user database access when associated the application (Col. 2, lines 39 – 40 and 47 – 49, Win).

Regarding Claims 2, and 11, Win discloses a article, wherein analyzing the issued database access statements comprises:

determining whether the database access statements have been captured (Figure 5B, item 516, Col. 10, lines 29 – 34, Win[4]);

normalizing the database access statements (Col.14, lines 15 – 17, Win); and

eliminating redundancies in the database access statements (Col. 14, lines 15 – 19, Win).

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[1] Wherein examiner interprets the step of controlling access, particularly by receiving access information and identifying resources authorized (as disclosed by Win) as the step of analyzing the database access statements as claimed.
[2] Wherein the resources correspond to the accessed items claimed; and the roles correspond to the type of access claimed.
[3] Wherein the step of defining the roles corresponds to the step of developing a role claimed.
[4] Wherein the step of recording a login attempt corresponds to the step of determining whether the database access statements have been captured as claimed. Specifically, the user's name and password correspond to the access statements claimed.

Regarding Claim 3, Win discloses a method wherein the database access statements comprise Structured Query Language (SQL) queries (Col. 7, lines 9 – 11, Win).

Regarding Claims 4, and 12, Win discloses an article wherein the determined accessed items and types of access include objects accessed (Col. 2, lines 31 – 33, the resources, Win) and operations performed on the objects (Col. 2, lines 39 – 40, to use the resources, Win).

Regarding Claims 5, and 13, Win discloses an article wherein developing a role comprises determining permissions for the application based on the determined accessed items and types of access (Col. 3, lines 34 – 44, Win).

Regarding Claims 6, and 14, Win discloses an article wherein the instructions are further operable to cause one or more machines to perform operations comprising determining which of a set of users are authorized to use the application (Col. 3, lines 13 – 14, Win).

Regarding Claims 7, and 15, Win discloses an article wherein the instructions are further operable to cause one or more machines to perform operations comprising:

determining whether a user request to establish an application session has been detected (Figure 5B, item 516, Col. 10, lines 29 – 34, a login attempt, Win);

finding the role associated with the application (Figure 5C, item 520 and 522, Col. 10, lines 57 – 63, Win); and

assigning the role to a user (Col.13, lines 32 – 34, Win).

Regarding Claims 8, and 16, Win discloses an article wherein detecting a user request to establish an application session comprises determining if a user is authorized to use the application (Col. 13, lines 34 – 36, Win).

Regarding Claims 9, and 17, Win discloses an article wherein the instructions are further operable to cause one or more machines to perform operations comprising:

detecting an end of the application session (Col.9 and 10, lines 45 – 47 and 39 – 42; respectively, Win); and

if an end of the application session is detected (Col.10, lines 39 – 42, Win), disabling the assigned role for the user (Col. 10, lines 42 – 45, Win).

Regarding Claim 18, Win discloses a database security analyzer comprising:

a communication interface operable to receive database access statements issued for an application in use (Figure 9, item 918, Communication Interface, Col. 27, lines 17 – 31, Win);

a memory operable to store the issued database access statements (Figure 9, item 906, Main Memory, Col. 26, lines 8 – 15, Win); and

a processor (Figure 9, item 904, processor, Col. 26, lines 36 – 42, Win) operable to develop a role associated with the application based on the issued database access statements for the application (Col. 2, lines 35 – 38, Win[5]), wherein the role allows a user database access when using the application (Col. 2, lines 39 – 40 and 47 – 49, Win).

Regarding Claim 19, Win discloses an analyzer wherein developing a role comprises:

determining accessed items and types of access for an application based on the issued database access statements for the application (Col. 2, lines 31 – 34, Win[6]);

determining permissions for the application based on the determined accessed items and types of access (Col. 3, lines 34 – 37, Win); and

developing a role associated with the application based on the determined permissions (Col. 2, lines 35 – 38, Win[7]).

Regarding Claim 20, Win discloses an analyzer wherein the determined accessed items and types of access include objects accessed (Col. 2, lines 31 – 33, the resources, Win) and operations performed on the objects (Col. 2, lines 39 – 40, to use the resources, Win).

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[5] Wherein the step of defining the roles corresponds to the step of developing a role claimed.
[6] Wherein the resources correspond to the accessed items claimed; and the roles correspond to the type of access claimed.
[7] Wherein the step of defining the roles corresponds to the step of developing a role claimed.

Regarding Claim 21, Win discloses an analyzer wherein developing a role comprises:

determining whether issued database access statements have been captured (Figure 5B, item 516, Col. 10, lines 29 – 34, Win[8]);

normalizing the database access statements (Col. 14, lines 15 – 17, Win); and

eliminating redundancies in the database access statements (Col. 14, lines 15 – 19, Win).

Regarding Claim 22, Win discloses an analyzer wherein the memory comprises instructions (Figure 9, item 906, Col. 26, lines 8 – 12, Win), and the processor operates according to the instructions (Figure 9, item 904, Col. 26, lines 36 – 38, Win).

Regarding Claims 23, Win discloses a method comprising:

capturing the database access statements issued for one or more applications in use (Figure 5B, item 516, Col. 10, lines 29 – 34, Win), wherein the database access statements comprise Structured Query Language (SQL) queries (Col. 7, lines 9 – 11, Win);

normalizing the issued database access statements (Col. 14, lines 15 – 17, Win);

eliminating redundancies in the normalized database access statements (Col. 14, lines 15 – 19, Win);

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[8] Wherein the step of recording a login attempt corresponds to the step of determining whether the database access statements have been captured as claimed. Specifically, the user's name and password correspond to the access statements claimed.

determining accessed items and types of access for an application based on the issued database access statements for the application (Col. 2, lines 31 – 34, Win[9]), wherein the determined accessed items and types of access include objects accessed (Col. 2, lines 31 – 33, the resources, Win) and operations performed on the objects (Col. 2, lines 39 – 40, to use the resources, Win);

determining permissions for the application based on the accessed items and types of access (Col. 3, lines 34 – 37, Win);

developing a role associated with the application based on the developed permissions (Col. 2, lines 35 – 38, Win[10]);

determining which of a set of users are authorized to use the application (Col. 3, lines 13 – 14, Win);

detecting a user request to establish a session of the application (Figure 5B, item 516, Col. 10, lines 29 – 34, a login attempt, Win);

determining if the user is authorized to use the application (Col. 13, lines 34 – 36, Win);

if the user is authorized to use the application, finding the role associated with the application (Figure 5C, item 520 and 522, Col. 10, lines 57 – 63, Win);

assigning the role to the user (Col. 13, lines 32 – 34, Win);

detecting an end of the application session (Col. 9 and 10, lines 45 – 47 and 39 – 42; respectively, Win); and

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[9] Wherein the resources correspond to the accessed items claimed; and the roles correspond to the type of access claimed.
[10] Wherein the step of defining the roles corresponds to the step of developing a role claimed.

if an end of the application session is detected (Col. 10, lines 39 – 42, Win), disabling the assigned role for the user (Col. 10, lines 42 – 45, Win).

Response to Arguments

1. Applicant argues that the prior art fails to disclose; "analyzing database access statements issued for an application in use"; and "developing a role associated with the application based on the determined accessed items and types of access, wherein the role allows a user database access when associated the application".

Examiner respectfully disagrees. The applied art Win does disclose: analyzing database access statements issued for an application in use (Col. 2, lines 28 – 33, Win). Wherein examiner interprets the step of controlling access, particularly by receiving access information and identifying resources authorized (as disclosed by Win), based on the roles that are stored in association with user identifying information as the step of analyzing the database access statements as claimed. These steps disclose by Win imply the step of analyzing in order to identify based on the associations of the received information.

Furthermore, the applied art Win does disclose: developing a role associated with the application based on the determined accessed items and types of access (Col. 2, lines 35 – 47; ... defining a role of the user; and storing an association of the user of the user to the role at the second server ... ; Win). Wherein the step of defining the roles corresponds to the step of developing a role claimed. Additionally, Win discloses the amended limitation including: wherein the role allows a user database access when associated the application (Col. 2, lines 39 – 40 and 47 – 49; determining whether the

user may access the resource based on the information describing the roles and functional groups; Win).

2. Applicant argues that the prior art fails to disclose; "capturing, normalizing, and eliminating redundancies in database access statements".

Examiner respectfully disagrees. The applied art Win does disclose: capturing (Figure 5B, item 516, Col. 10, lines 29 – 34; ... Access Server 106, requests Register Server 108 to record a login attempt ... ; Win). Wherein the step of recording a login attempt corresponds to the step of determining whether the database access statements have been captured as claimed. The applied art Win does also disclose: normalizing (Col. 14, lines 15 – 17, ... a normalized list ...; Win), and eliminating redundancies in database access statements (Col. 14, lines 15 – 19, ... duplicates are eliminated ... ; Win).

3. Applicant argues that the prior art fails to disclose; "determining permissions for an application based on the determined accessed items and types of access".

Examiner respectfully disagrees. The applied art Win does disclose: determining permissions for the application based on the determined accessed items and types of access (Col. 3, lines 34 – 44; determining, based on the one or more tokens, whether the client is authorized to use the one of the resources ... granting access to the resource only when the roles associated with the user satisfy an access rule ...; Win).

Conclusion

1. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

2. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Prior Art Made Of Record

1. Win et al. (US Patent No. 6,182,142 B1, issued: January 30, 2001) disclose a distributed access management of information resources.

2. Menninger (US Patent App. Pub. No. 2003/0069818 A1) discloses a system, method, and computer program product for creating contracts using a graphical user interface in a supply chain management framework.

3. Gold et al. (US Patent App. Pub. No. 2005/0102358 A1) discloses a web page monitoring and collaboration system.

Points Of Contact

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Giovanna Colan whose telephone number is (571) 272-2752. The examiner can normally be reached on 8:30 am - 5:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Breene can be reached on (571) 272-4107. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Giovanna Colan
Examiner
Art Unit 2162
November 14, 2006

Sara Al-Hashemi